



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: David Johnston Lynch  
Serial No.: 09/475,448  
Filed: December 30, 1999  
For: RATINGS CONTROL SYSTEM WITH TEMPORARY OVERRIDGE  
CAPABILITY  
Examiner: Annan Q. Shang  
Art Unit: 2424

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

- ☐ 1 Pursuant to 37 CFR 1.97(b)  
[within 3 months of filing or prior to 1st Office Action]  
☐ 2 Certification Pursuant to 37 CFR 1.97(c)  
[before Final Office Action or Allowance]  
☐ 3 Fee Payment Pursuant to 37 CFR 1.97(c)  
[before Final Office Action or Allowance]  
☒ 4 Certification & Submission Fee Payment Pursuant to 37 CFR 1.97(d)  
[before issue fee payment]

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The following are submitted in the above-identified application in compliance with 37 CFR 1.97 & 1.98:

☒ 5 List of documents on form PTO-SB08a (b) together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This paper is submitted in accordance with:

- ☐ 6 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]  
☐ 7 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and  
☐ 8 The required certification made in item 11 below; or  
☐ 9 The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.  
☒ 10 37 CFR § 1.97(d): [before issue fee payment]; and  
(a) The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.

(b) The required Certification is stated in item 11 below.

☒ 11 Certification

☐ 12 That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or

☒ 13 That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

☒ 14 If any fees are due, please charge the applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0832.

Respectfully Submitted,

BY: 

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Date: 25 JAN 2011

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**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in a postage paid envelope addressed to: Commissioner for Patents, Alexandria, Virginia 22313-1450, on the date indicated below.

Date: 25 January 2011

Signature 

Natalie Brottman